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**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER
2271/75845

U.S. APPLICATION NO. (if filed), see 37 CFR 1.5

PRIORITY DATE CLAIMED
11 June 2004

INTERNATIONAL APPLICATION NO.
PCT/JP2005/010520

INTERNATIONAL FILING DATE
8 June 2005

TITLE OF INVENTION
SURFACE-EMISSION LASER DIODE AND FABRICATION PROCESS THEREOF

APPLICANT(S) FOR DO/EO/US

Shunichi SATO, Akihiro ITOH and Naoto JIKUTANI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.99.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.
PCT/JP2005/010520

ATTORNEY'S DOCKET NUMBER
2271/75845

10/567809

20. Other items or information: See attached Page 4.

| | | CALCULATIONS | PTO USE ONLY |
|---|--|---|--------------|
| The following fees have been submitted | | | |
| 21. <input checked="" type="checkbox"/> | Basic national fee (37 CFR 1.492(a))..... \$300 | \$ 300.00 | |
| 22. <input checked="" type="checkbox"/> | Examination fee (37 CFR 1.492(c)) | \$ 200.00 | |
| If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 | | | |
| All other situations..... \$200 | | | |
| 23. <input checked="" type="checkbox"/> | Search fee (37 CFR 1.492(b)) | \$ 400.00 | |
| If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 | | | |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 | | | |
| International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400 | | | |
| All other situations..... \$500 | | | |
| TOTAL OF 21, 22 and 23 = | | \$900.00 | |
| <input checked="" type="checkbox"/> | Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE |
| 200 - 100 = | 100 /50 = | 2 | x \$250 |
| | | | \$ 500.00 |
| Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)). | | | \$ |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE |
| Total claims | 35 - 20 = | 15 | x \$ 50 |
| Independent claims | 7 - 3 = | 4 | x \$200 |
| | | | + \$360 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | \$ 0 |
| TOTAL OF ABOVE CALCULATIONS = | | \$ 2,950.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. | | | |
| SUBTOTAL = | | \$ | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). | | | \$ |
| TOTAL NATIONAL FEE = | | \$ 2,950.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | \$ |
| TOTAL FEES ENCLOSED = | | \$ 2,950.00 | |
| | | Amount to be refunded: | \$ |
| | | Amount to be charged | \$ |

10/567809

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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- a. ☒ A check in the amount of \$ 2,950.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-3125. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

AP 2006 OCT/PTO 07 FEB 2006

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

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 Cooper & Dunham LLP
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 New York, New York 10036
 Tel.: 212-278-0400

SIGNATURE

Paul Teng

NAME

40,837

REGISTRATION NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Shunichi SATO, Akihiro ITOH and Naoto JIKUTANI
Serial No. : Not Yet Known Int'l Appl'n No.: PCT/JP2005/010520
Date Filed : Concurrently Herewith Int'l Filing Date: 8 June 2005
For: SURFACE-EMISSION LASER DIODE AND FABRICATION PROCESS
THEREOF

**Page 4 of Transmittal Letter To The United States Designated/Elected Office
(DO/EO/US) Concerning A Submission Under 35 U.S.C. 371**

20. Other items or information:

Copies of the following--

- cover page of International Publication No. WO 2005/122350 A1;
- PCT Request;
- Notification Concerning Submission Or Transmittal Of Priority Document;
- Notification Of Transmittal Of The International Search Report And The Written Opinion Of The International Searching Authority, Or The Declaration;
- Written Opinion Of The International Searching Authority; and
- First Notice Informing The Applicant Of The Communication Of The International Application [To Designated Offices Which Do Not Apply The 30 Month Time Limit Under Article 22(1)].

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Dkt. 2271/75845

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IAP20 Rec'd 02/07/06

7 FEB 2006

Application of: Shunichi SATO, Akihiro ITOH and Naoto JIKUTANI

Serial No. : Not Yet Known Int'l Appl'n No.: PCT/JP2005/010520

Date Filed : Concurrently Herewith Int'l Filing Date: 8 June 2005

For: SURFACE-EMISSION LASER DIODE AND FABRICATION PROCESS THEREOF

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P.O. Box 1450
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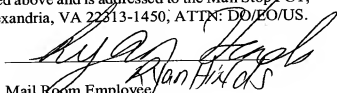
Sir:

EXPRESS MAIL LETTER OF TRANSMITTAL

Express Mail mailing label number: EV554806323US

Date of Deposit: February 7, 2006

I hereby certify that the above-identified new application, consisting of four pages of the Transmittal Letter To The United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371 (in duplicate), an English-language translation of the International Application as filed [including 190-page specification with claims 1-35, Abstract and 10 sheets of formal drawings (Figs. 1-22)], Information Disclosure Statement (including Form PTO-1449 and copies of references), cover page of PCT Publication No. WO 2005/122350 A1, PCT Request, Notification Concerning Submission Or Transmittal Of Priority Document, Notification Of Transmittal Of The International Search Report And The Written Opinion Of The International Searching Authority, Or The Declaration, Written Opinion Of The International Searching Authority, First Notice Informing The Applicant Of The Communication Of The International Application [To Designated Offices Which Do Not Apply The 30 Month Time Limit Under Article 22(1)], a check in the amount of \$2,950.00 and return stamped postcard, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to the Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, ATTN: DO/EO/US.


Mail Room Employee
Depositing Express Mail Material

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